PATENT

Preliminary Classification:

Proposed Class

Subclass

"All applicants are requested to include a preliminary classification on newly filed patent applications The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand corner of the letter of transmittal accompanying the application papers, for example 'Proposed Class 2, subclass 129' " MPEP § 601, 7th ed



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application Assistant Commissioner for Patents Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Mark W. Kroll; John D. Ockuly; Rajesh Pendakanti

WARNING: 37 CFR § 1 41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1 63, except as provided for in § 1 53(d)(4) and § 1 63(d) If an oath or declaration as prescribed by § 1 63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1 53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1 17(i) is filed supplying or changing the name or names of the inventor or inventors "

For (title).

EVEN TEMPERATURE LINEAR LESION ABLATION CATHETER

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is mandatory, Express Mail certification is optional)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

B	deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner
	for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

Date: (14 29, 2001

37 C.F.R. § 1.10 *

☐ with sufficient postage as first class mail

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Doodless

TRANSMISSION

facsimile transmitted to the Patent and Trademark Office, (703)

Dorothy Goodlett

(type or print name of person certifying)

(New Application Transmittal [4-1]—page 1 of 12)

^{*} Only the date of filing (§ 1 6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness See § 1 703(f) Consider "Express Mail Post Office to Addressee" (§ 1 10) or facsimile transmission (§ 1 6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations

1. Type of Application

This new application is for a(n)

Original (nonprovisional)

□ Design
□ Plant

WARNING: Do not use this transmittal for a completion in the US of an International Application under 35 USC § 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application

WARNING: Do not use this transmittal for the filing of a provisional application

WARNING: Do not use this transmittal for the filing of a provisional application

NOTE If one of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR US APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION

□ Divisional.
□ Continuation
□ Continuation-in-part (C-I-P)

2. Benefit of Prior U.S. Application(s) (35 U.S C. §§ 119(e), 120, or 121)

NOTE A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U S C § 112 Each prior application must also be:

- (i) An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America, or
 - (ii) Complete as set forth in § 1 51(b), or
- (iii) Entitled to a filing date as set forth in § 1 53(b) or § 1 53(d) and include the basic filing fee set forth in § 1 16, or
- (iv) Entitled to a filing date as set forth in § 1 53(b) and have paid therein the processing and retention fee set forth in § 1 21(l) within the time period set forth in § 1 53(f)

37 CFR § 1 78(a)(1)

NOTE If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

WARNING: If an application claims the benefit of the filing date of an earlier filed application under 35 U S C §§ 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U S application that the application makes reference to under 35 U S C §§ 120, 121 or 365(c) (35 U S C § 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U S C §§ 119, 365(a) or 365(b)) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205

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. WAU	NIVIIVO	holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3).
		The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.
3. F	aper	rs Enclosed
A.		quired for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 sign) Application
	3	O Pages of specification
	_1	3 Pages of claims
	_ 9	Sheets of drawing
WAI	RNING	DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. For comments on proposed then-new 37 C.F.R. § 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62).
NOT	in th o	Identifying indicia, if provided, should include the application number or the title of the invention, need to show the name and telephone number of a person to call if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm. [%] inch) down from the top of the page" 37 C.F.R. § 1.84(c)).
		(complete the following, if applicable)
		The enclosed drawing(s) are photograph(s). Three (3) sets of photographs and a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)" are attached. 37 C.F.R. § 1.84(b).
		The enclosed drawing(s) are in color. Three (3) sets of color drawings and a "PETITION TO ACCEPT COLOR DRAWING(S)" are attached. 37 C.F.R. §§ 1.84(a)(2) and 1.84(b).
		formal
	T	informal
B.	Oth	her Papers Enclosed
		3 Pages of declaration and power of attorney + 2 USPTO Notices re: Power of Att
		1_ Pages of abstract
		Other
4. /	Addit	tional papers enclosed
	\Box	Amendment to claims
		Cancel in this applications claims 1-42 before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
		Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)
		(New Application Transmittal [4-1]—page 3 of 12)

Ø	Prel	iminary Amendment
	Info	rmation Disclosure Statement (37 C.F.R. § 1.98)
	Form	n PTO-1449 (PTO/SB/08A and 08B)
	Cita	tions
	Dec	laration of Biological Deposit
	perl	mission of "Sequence Listing," computer readable copy and/or amendment taining thereto for biotechnology invention containing nucleotide and/or no acid sequence.
	Autl	horization of Attorney(s) to Accept and Follow Instructions from Representa-
	Spe	cial Comments
	Oth	er
5. Dec	laratio	n or oath (including power of attorney)
NOTE:	the price by all control application the sign by a state being to declarate person	y executed declaration is not required in a continuation or divisional application provided that or nonprovisional application contained a declaration as required, the application being filed is or fewer than all the inventors named in the prior application, there is no new matter in the tion being filed, and a copy of the executed declaration filed in the prior application (showing nature or an indication thereon that it was signed) is submitted. The copy must be accompanied attement requesting deletion of the names of person(s) who are not inventors of the application filed. If the declaration in the prior application was filed under § 1.47, then a copy of that tion must be filed accompanied by a copy of the decision granting § 1.47 status or, if a nonsigning under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently and declaration must be filed. See 37 C.F.R. §§ 1.63(d)(1)–(3).
NOTE:	is direc abbrevi country	aration filed to complete an application must be executed, identify the specification to which it ted, identify each inventor by full name including family name and at least one given name, without iation together with any other given name or initial, and the residence, post office address and or citizenship of each inventor, and state whether the inventor is a sole or joint inventor. 37 § 1.63(a)(1)–(4).
NOTE:	as pres as pres is that i this pa	ventorship of a nonprovisional application is that inventorship set forth in the oath or declaration scribed by § 1.62, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration scribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under ragraph accompanied by the fee set forth in § 1.17(f) is filed supplying or changing the name lies of the inventor or inventors." 37 C.F.R. § 1.41(a)(1).
•		closed
-		ecuted by
		(check all applicable boxes)
	ch	
		inventor(s).
		legal representative of inventor(s). 37 C.F.R. §§ 1.42 or 1.43. joint inventor or person showing a proprietary interest on behalf of inventor
	Ц	who refused to sign or cannot be reached.
		☐ This is the petition required by 37 C.F.R. § 1.47 and the statement required by 37 C.F.R. § 1.47 is also attached. See item 13 below for fee.
		t Enclosed.
NOTE:	the U.: may b	the filing is a completion in the U.S. of an International Application or where the completion of S. application contains subject matter in addition to the International Application, the application e treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE IEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.

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Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of all the above named inventor(s).
(The declaration or oath, along with the surcharge required by 37 C.F.R. § 1.16(e) can be filed subsequently).
Showing that the filing is authorized. (not required unless called into question. 37 C.F.R. § 1.41(d))
6. Inventorship Statement
WARNING: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.
The inventorship for all the claims in this application are:
☑ The same.
or
Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,
is submitted.
☐ will be submitted.
7. Language
NOTE: An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 C.F.R. § 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 C.F.R. § 1.52(d).
☑ English
☐ Non-English
☐ The attached translation includes a statement that the translation is accurate. 37 C.F.R. § 1.52(d).
8. Assignment
An assignment of the invention to <u>Daig Corporation</u>
14901 DeVeau Place, Minnetonka, Minnesota 55345-2126
is attached. A separate ☐ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☑ FORM PTO 1595 is also attached.
☐ will follow.
NOTE: "If an assignment is submitted with a new application, send two separate letters-one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).
WARNING: A newly executed "CERTIFICATE UNDER 37 C.F.R. § 3.73(b)" must be filed when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 1150 O.G. 62-64.
☑ This is a □ continuation ☑ divisional application and the assignment
document for the parent application $0^9/\underline{276,210}$ was filed
on <u>June 11,2001</u> .
Reel _011890_
Frame <u>0863</u>

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9. Certified	Сору
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Certified copy(i	es) of	applica	tion(s)
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Country	Appln. No.				Filed
Country	Appln. No.				Filed
Country	Appln. No.			 .	Filed
from which priority is claimed					
is (are) attached.					
☐ will follow.					
NOTE: The foreign application for declaration. 37 C.F.R. § 1.		im for	priority must l	oe referred to	in the oath or
NOTE: This item is for any foreign U.S. application or Internati § 120 is itself entitled to pri PAGES FOR NEW APPLIC. CLAIMED.	onal Application from which fority from a prior foreign a	ch this applica	application cla tion, then com	aims benefit u plete item 18	under 35 U.S.C. 3 on the ADDED
10. Fee Calculation (37 C.F	.R. § 1.16)				
A. Regular application					
	CLAIMS AS FIL	ED			
Number filed	Number Extra	•	Rate	37 C.F.	sic Fee R. § 1.16(a) 10.00
Total Claims (37 C.F.R. § 1.16(c)) 21 –	20 = 1	×	\$ 18.00		18.00
Independent					
Claims (37 C.F.R. § 1.16(b)) 3 -	3 = 0	×	\$ 80.00		
Multiple dependent claim(s), if any (37 C.F.R. § 1.16(d))		+	\$270.00		
☐ Amendment cance	lling extra claims is	enclo	sed.		
☐ Amendment deleting	ng multiple-depender	ncies	is enclosed	d.	
☐ Fee for extra claim	ns is not being paid	at thi	s time.		
NOTE: If the fees for extra claims a prior to the expiration of t notice of fee deficiency. 3	he time period set for res	ust be ponse	paid or the cla by the Patent	ims cancelled and Tradem	l by amendment, ark Office in any
•	Filing Fee Calculation	n		\$72	28.00
B. Design application (\$310.00—37 C.F.I				•	
·	Filing Fee Calculation	n		\$	

C.		Plant application (\$480.00—37 C.F.R. § 1.16(g))	
		Filing fee calculation	\$
11.	Asse	ertion of Small Entity Status	
		Applicant hereby asserts status as a small entity under	37 C.F.R. § 1.27

NOTE: 37 C.F.R. § 1.27(c) deals with the assertion of small entity status, whether by a written specific declaration thereof or by payment as a small entity of the basic filing fee or the fee for the entry into the national phase and states:

"(c) Assertion of small entity status. Any party (person, small business concern or nonprofit organization) should make a determination, pursuant to paragraph (f) of this section, of entitlement to be accorded small entity status based on the definitions set forth in paragraph (a) of this section, and must, in order to establish small entity status for the purpose of paying small entity fees, actually make an assertion of entitlement to small entity status, in the manner set forth in paragraphs (c)(1) or (c)(3) of this section, in the application or patent in which such small entity fees are to be paid.

- (1) Assertion by writing. Small entity status may be established by a written assertion of entitlement to small entity status. A written assertion must:
 - (i) Be clearly identifiable;
 - (ii) Be signed (see paragraph (c)(2) of this section); and
 - (iii) Convey the concept of entitlement to small entity status, such as by stating that applicant is a small entity, or that small entity status is entitled to be asserted for the application or patent. While no specific words or wording are required to assert small entity status, the intent to assert small entity status must be clearly indicated in order to comply with the assertion requirement.
- (2) Parties who can sign and file the written assertion. The written assertion can be signed by:
 - (i) One of the parties identified in § 1.33(b) (e.g., an attorney or agent registered with the Office), § 3.73(b) of this chapter notwithstanding, who can also file the written assertion;
 - (ii) At least one of the individuals identified as an inventor (even though a § 1.63 executed oath or declaration has not been submitted), notwithstanding § 1.33(b)(4), who can also file the written assertion pursuant to the exception under § 1.33(b) of this part; or
 - (iii) An assignee of an undivided part interest, notwithstanding §§ 1.33(b)(3) and 3.73(b) of this chapter, but the partial assignee cannot file the assertion without resort to a party identified under § 1.33(b) of this part.
- (3) Assertion by payment of the small entity basic filing or basic national fee. The payment, by any party, of the exact amount of one of the small entity basic filing fees set forth in §§ 1.16(a), (f), (g), (n), or (k), or one of the small entity basic national fees set forth in §§ 1.492(a)(1), (a)(2), (a)(3), (a)(4), or (a)(5), will be treated as a written assertion of entitlement to small entity status even if the type of basic filing or basic national fee is inadvertently selected in error.
 - (i) If the Office accords small entity status based on payment of a small entity basic filing or basic national fee under paragraph (c)(3) of this section that is not applicable to that application, any balance of the small entity fee that is applicable to that application will be due along with the appropriate surcharge set forth in § 1.16(e), or § 1.16(l).
 - (ii) The payment of any small entity fee other than those set forth in paragraph (c)(3) of this section (whether in the exact fee amount or not) will not be treated as a written assertion of entitlement to small entity status and will not be sufficient to establish small entity status in an application or a patent."

WARNING: 37 C.F.R. § 1.27(c)(4): "Assertion required in related, continuing, and reissue applications. Status as a small entity must be specifically established by an assertion in each related, continuing and reissue application in which status is appropriate and desired. Status as a small entity in one application or patent does not affect the status of any other application or patent, regardless of the relationship of the applications or patents. The refiling of an application under § 1.53 as a continuation, divisional, or continuation-in-part application (including a continued prosecution application under § 1.53(d)), or the filing of a reissue application, requires a new assertion as to continued entitlement to small entity status for the continuing or reissue application."

				rsons signing the statement ., § 509.03 (emphasis added).
	(co	mplete the followi	ng, if applicable)	
☐ Sta	tus as a small	entity was asserte	ed in the prior ap	plication
		, filed or this application		, from which benefit
35	_	119(e) 120 121 365(c)		
	nd which status oplication.	as a small entity	is still proper and	d asserted for this
	A copy of the is included.	written assertion	of small entity file	ed in the prior application
establis for a re	shing status as a sn efund of the excess	nall entity may only be amount are filed with	obtained if an assertion in three months of the	f fees timely paid in full prior to n under § 1.27(c) and a request e date of the timely payment of .136. 37 C.F.R. § 1.28(a).
Filir	ng Fee Calcula	tion (50% of A, B	or C above)	
				\$
12. Request	for Internation	nal-Type Search	(37 C.F.R. § 1.10	4(d))
		(complete, if a	pplicable)	
			search report for the nerits takes place.	his application at the time

13. Fee Payr	ment Being Made at This Time	
☐ Not	t Enclosed	
	No filing fee is to be paid at this time. (This and the surcharge required by 37 C.F.R. § 1.16 subsequently.)	(e) can be paid
回 Enc	closed	
Image: Control of the	Filing fee	\$ _728.00
	Recording assignment (\$40.00; 37 C.F.R. § 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".)	\$
	Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached (\$130.00; 37 C.F.R. §§ 1.47 and 1.17(i))	\$
	For processing an application with a specification in a non-English language (\$130.00; 37 C.F.R. §§ 1.52(d) and 1.17(k))	\$
	Processing and retention fee (\$130.00; 37 C.F.R. §§ 1.53(d) and 1.21(l))	\$
	Fee for international-type search report (\$40.00; 37 C.F.R. § 1.21(e))	\$
failing 37 C.I either	F.R. § 1.21(I) establishes a fee for processing and retaining any application to complete the application pursuant to 37 C.F.R. § 1.53(f) and this, as v.F.R. §§ 1.53 and 1.78(a)(1), indicate that in order to obtain the benefit of a the basic filing fee must be paid, or the processing and retention fee of § 1 year from notification under § 53(f).	vell as the changes to prior U.S. application, 1.21(I) must be paid,
	Total fees enclosed \$_	728.00
14. Method	of Payment of Fees	
₽ At	ttached is a \square check \square money order in the amount of \$ $_$	728.00
	uthorization is hereby made to charge the amount of \$	
E	to Deposit Account No03-3420	
	to Credit card as shown on the attached credit card info tion form PTO-2038.	
	Credit card information should not be included on this form as it may be	
	harge any additional fees required by this paper or credit the manner authorized above.	any overpayment
	A duplicate of this paper is attached.	

15. Au	thori	zation to Charge Additional Fees
WARNI	NG:	If no fees are to be paid on filing, the following items should not be completed.
WARNI		Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.
2	fo	ne Office is hereby authorized to charge, in the manner shown above, the llowing additional fees that may be required by this paper and during the entire endency of this application.
		37 C.F.R. § 1.16(a), (f) or (g) (filing fees)
	1	37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)
NOTE:	must set fo to au	use additional fees for excess or multiple dependent claims not paid on filing or on later presentation only be paid or these claims cancelled by amendment prior to the expiration of the time period or response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not thorize the PTO to charge additional claim fees, except possibly when dealing with amendments final action.
		37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
		37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a)).
		37 C.F.R. § 1.17 (application processing fees)
NOTE:	or fut as ind charg const an ex § 1.1 requir	A written request may be submitted in an application that is an authorization to treat any concurrent ure reply, requiring a petition for an extension of time under this paragraph for its timely submission, corporating a petition for extension of time for the appropriate length of time. An authorization to be all required fees, fees under § 1.17, or all required extension of time fees will be treated as a tructive petition for an extension of time in any concurrent or future reply requiring a petition for tension of time under this paragraph for its timely submission. Submission of the fee set forth in 7(a) will also be treated as a constructive petition for an extension of time in any concurrent replying a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. 36(a)(3).
		37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))
NOTE:	of a f	e an authorization to charge the issue fee to a deposit account has been filed before the mailing Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time ailing the notice of allowance. 37 C.F.R. § 1.311(b).
NOTE:	entity fee even	F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small status must be filed in the application prior to paying, or at the time of paying, the issue . " From the wording of 37 C.F.R. § 1.28(b), (a) notification of change of status must be made if the fee is paid as "other than a small entity" and (b) no notification is required if the change another small entity.
16. Ins	truc	tions as to Overpayment
	a rea: be re	Amounts of twenty-five dollars or less will not be returned unless specifically requested within sonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may turned by check or, if requested, by credit to a deposit account." 37 C.F.R. $$$ 1.26(a). redit Account No. $03-3420$
` <u>L</u>		
L	j K	efund